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ABSTRACT

Two policy statements of the American Association of State Colleges and Universities regarding the employment and roles of college presidents are presented. In "Guidelines for Conditions of Employment for College and University Presidents," attention is directed to contractual considerations, ethical considerations of college and university presidents, guidelines for evaluating the leadership of presidents, and opportunity for personal/professional renewal. Contracts need to include, among other provisions: a description of the nature and scope of authority and responsibility of the president; stipulations of the length of the contract and provisions for renewal of the appointment; and method of acquiring professorship. Ethical considerations include: the president's responsibility for educational leadership and stewardship, which transcends concern for personal, economic, and social rewards; and the president's role in keeping the institution's constituencies fully and honestly informed on matters of public concern. In "Responsibilities and Rights of College Presidents," the chief executive officer's leadership role and concomitant rights are outlined, as are the governing board's authority. The president is responsible for recommending broad policies and personnel to the board and for implementing those policies approved by the board. Specific responsibilities include: the direction of current and long-range planning; the operation of an administrative organization, governance structure, and personnel system; and implementing a process for securing necessary resources. Rights of the president include: having direct access to governing board or appropriate authority; making recommendations to the board; and being free from personal liability in the execution of duties. (SW)

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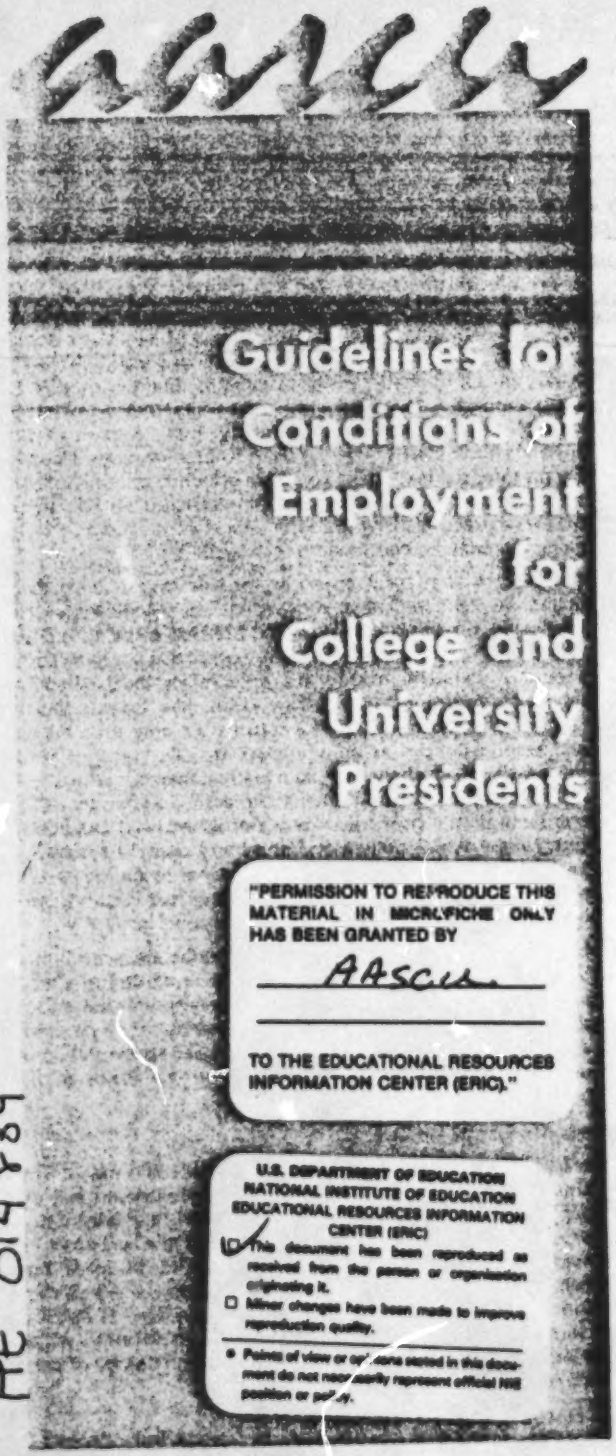
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The following policy statement was adopted by the AASCU membership during its 15th Annual Meeting, November, 1975, Boston, Massachusetts.

Introduction

There is growing interest throughout the United States in the conditions of employment for college and university presidents: how they are appointed, evaluated, encouraged, and provided with alternate means of exiting from the presidential office. The campus chief executive is the administrative arm of the campus governing board, and bears enormous responsibility for institutional leadership. The pressure of leadership in critical times inevitably takes its toll. The changing conditions of society (birth rates, social priorities, economic health) present campus leadership with a varying set of challenges and demands. There is required a more carefully described statement of the nature of presidential responsibilities and authority made known at the time of appointment. There is need to provide some security for presidential leadership to assure effective administration, opportunities for the assessment of leadership, and dignified means whereby leadership in the person of the campus chief executive may be continued or changed.

It is urgent that local governing boards discuss with their presidents, and establish in writing, the expectations for leadership for those who hold the position of campus chief executive.* The campus governing boards and the presidents should understand clearly the constraints established by law and governing board policy, while the boards should recognize the campus chief executive's rights as a citizen and responsibilities as an administrator. At the same time, the president or chancellor, as a leading member of the academic profession, should understand and be guided by ethics common to the profession. It is important that the conditions under which college and university presidents serve be known and understood, particularly by the presidents and the governing boards. The institution's constituents also need to know.

In examining the conditions which enhance presidential leadership, it is necessary to consider carefully the new phenomenon of systematic evaluation of presidential leadership; a phenomenon tied closely to expectations of performance. It also is desirable to consider the need for professional options available to the person leaving the office of the presidency.

Employment Conditions

It is assumed that a careful presidential search is made. This presumes that the position responsibilities are described, the expectations of leadership are delineated, the evaluation process is clarified, and the authority of the president is made known. However, experience would indicate that these conditions are not specified to the degree which they should be. The Policies and Purposes Committee of AASCU recommends the following as areas of consideration which should be clarified, and which require a high degree of careful communication.

*Most often called president or chancellor.

1. Contractual Considerations

Few presidents of colleges and universities serve with a clearly stated contractual agreement. Simple letters of understanding seem to be the rule. However, it is time that more formal and precise contracts are developed by campus boards of governors to include at least:

A. Description of the nature and scope of authority and responsibilities vested in the chief campus executive by the governing board.

B. Stipulation of the length of the contract appointment, provisions for renewal of term appointment, limitations of appointment, provisions for notification and due process opportunities prior to the expiration of appointment or during appointment term.

C. Method of acquiring professorship with or without tenure at the time of initial appointment or later, or another administrative appointment.

D. Provision for granting study leaves with a salary which can provide study and travel for the purposes of gaining a new perspective on the institution, renewal of leadership commitments, and stimulation of institutional goals.

E. Delineation of professional benefits and options for leaving the presidency or chancellorship prior to official retirement. Such considerations should include, but are not limited to:

1. Salary adjustment procedures to permit economic readjustment, including all fringe benefits.
2. Assistance available in re-locating residence, including a schedule for vacating institutional-owned presidential residence, if provided, or sale of personal home.

F. Delineation of professional options available at the time of official retirement from the position of chief institutional officer:

1. Designation as President or Chancellor Emeritus.
2. Provision of office space and use of resources, such as library, if desired.
3. All rights and privileges made available to faculty emeriti.

2. Ethical Considerations of College and University Presidents

Governing boards should discuss with their campus chief executive and establish in writing the expectations for the individuals filling the position of president. The president, as a leading member of the academic profession, should be guided by a standard of ethics common to this profession. The governing boards and the chief executives should clearly understand constraints established by law, governing board policy, and recognize the president's basic rights as a citizen.

Ethical Relationships for College and University Presidents

A. The governing board should discuss with the president its expectations of presidential personal and professional leadership and responsibility as chief executive.

B. The president should be expected to relate in an exemplary manner toward all members of constituencies served by the institution.

C. The exercise of presidential leadership should be on a high ethical basis and completely within the constraints established by law and trustee policy.

D. The president should assume responsibility for acquiring, understanding, practicing and extending the body of knowledge required for higher education administration.

E. The president accepts as a primary goal of leadership the provision of appropriate and superior quality educational programs, and an intellectually stimulating campus environment based upon accepted tenets of academic freedom.

F. The president is obligated to carry out to the best of his or her ability the supervisory and administrative mandates of the leadership position.

G. The president accepts as a public trust the responsibilities of educational leadership and stewardship transcending concern for personal, economic, and social rewards.

H. The president assumes leadership in keeping the institution's constituencies fully and honestly informed on matters of public concern.

I. The president shall delegate appropriate and allowable responsibilities for administration with the realization that the president remains ultimately accountable for stewardship.

J. The president's citizenship rights and responsibilities should be exercised in the context of inherent leadership obligations of the position of president.

K. The president shall be granted freedom to serve on private or public boards, councils, or committees unless a clear conflict of interest is present.

L. The president may accept honoraria for appropriate services rendered, unless such services are clearly seen to be within the scope of normal and expected institutional leadership responsibilities.

3. Guidelines for Evaluating the Leadership of College and University Presidents

A presidential review process differs from the initial search for candidates for the presidency. A presidential search is generally extensive, the process of screening and interviewing is complex and long. The major effort at the time of initial recommendation and appointment generally rests with the campus constituents who recommend candidates to the governing board.

The evaluation review process generally will not be as lengthy. It will focus on the performance of a president already known by constituents, and will be instigated, conducted, and concluded by the governing board, only.

It is recommended that the governing boards of colleges and universities establish procedures for a periodic and systematic evaluation of institutional presidential performance which considers the broad span of leadership requirements for the particular institution. All proprieties appropriate to a dignified and professional administrative procedure should be observed, preserving confidentiality throughout. An essential part of any plan for the evaluation of presidential performance may provide:

A. A basic statement of the expectations of presidential leadership, based upon *delineated criteria*, which reflects the governing board's expectations for the presidential performance in the context of the institutional mission.

B. A written self-evaluation of leadership strengths and weakness, successes and failures by the president and in a form acceptable to the president, and/or an objective list of accomplishments attributed to presidential leadership, submitted to the board, or to the evaluator or evaluators, if not the same.

C. A clearly defined statement by the governing board of evaluation procedures.

D. A meeting between the president and the governing board to discuss the evaluation while in progress, or to respond to the results of the evaluation upon completion—and before the general results of the evaluative process are concluded.

4. Opportunity for Personal and Professional Renewal

There should be opportunities for periodic leaves for presidents similar to faculty leaves. Leadership requires exhausting efforts, both physically and intellectually, which mandate individual self-renewal. Planned study and travel leaves should be developed.

The provision for periodic study leaves is to the advantage of the institution, as new perspectives of institutional mission, the renewal of leadership commitments, and the development of new insights are an excellent investment.

Conclusion

These recommendations by the American Association of State Colleges and Universities will assist in attracting and retaining high quality chief executives of colleges and universities. This, of course, enhances the development of these unique academic institutions. A president or chancellor who knows the rights and responsibilities of the office, understands the requirements for ethical relationships, accepts the need for the accountability of leadership through a systematic evaluation, and has available professional support for renewal of leadership requirements will serve with a commitment to the position which assures the quality and mission of the institution.

The American Association of State Colleges and Universities acknowledges the following documents which were helpful:

National Education Association, *Code of Ethics of the Education Profession* (1968, rev. 1972).

American Association of School Administrators, *Code of Ethics* (1966).

State University of New York, *Guidelines for the Review Process for the Chancellor and Presidents,* (1973, rev. 1974).

AASCU is an organization of 320 regional state colleges and universities located in 47 states, the District of Columbia, Guam and the Virgin Islands. Two-thirds of them have graduate programs. They represent the fastest-growing group of four-year institutions in the nation, with a total enrollment of 2 million—25 percent of the total national student population, and 20 percent of those in four-year institutions.

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RESPONSIBILITIES AND RIGHTS OF THE COLLEGE PRESIDENT

The following statement was developed by the AASCU Committee on Policies and Purposes and approved by the membership on November 10, 1981.

Historically, the role of the college or university president in the United States has been central to the successful development of institutions of quality and stability. The requirement for leadership has been, and will remain, critical.

Governing boards have the ultimate legal responsibility for the development, operation, and management of institutions under their authority. Faculties and other constituencies share in varying degrees responsibility for helping to develop major policy recommendations. However, as the only administrative agent of the governing board and as a representative of each constituency involved with the institution, the president has a crucial role in the development and maintenance of institutional quality and stability.

Based on these assumptions, this statement outlines the major responsibilities and concomitant rights of the president that are necessary if he or she is to be successful in ensuring the achievement of institutional purposes, goals, and objectives. The exact definition of each presidency varies widely and reflects the diversity of governance and mission in the United States. Indeed, it is difficult to use a standard terminology in discussing the role of the president because of the existence of different titles, institutional missions, governing relationships, influence of other external agencies, and internal conditions of employment. This statement focuses on the president as chief executive officer of a campus, although the general principles encompass the responsibilities and rights of systems' presidents and chancellors; of the chief executive officer of individual campuses, whether within a system or reporting directly to a board; and of presidents of institutions, whether unionized or nonunionized.

Fundamental to these general principles is the axiom that the president must have authority and rights which permit him or her to meet the responsibilities and expectations of the office.

Role of Universities and Colleges

The role of the university or college in the United States continues the historic functions of the discovery of new knowledge, the conservation and practical application of existing knowledge, and the communication of that knowledge to students and the general public. Therefore, the primary missions of colleges and universities are teaching, research, and service. Although the balance among these functions will vary from time to time within each institution and among institutions, the president must have the authority and the rights necessary to achieve the current institutional mission with quality and financial stability.

Governing Board

With few exceptions, the governing board is the final institutional authority. In the case of public institutions established by constitutional or statutory provisions, limitations may exist to the board's authority either under the constitution or applicable state law. Nevertheless, the governing board is responsible for protecting the integrity of the institution and for preserving academic freedom by shielding the institution from political intervention.

The board should delegate authority to the president commensurate with his or her responsibilities. In a centralized system, the board may delegate all or a portion of that responsibility to the chief executive officer of the system who, in turn, either delegates to the chief executive officers of individual campuses or acts as a facilitator to the chief executive officers of the campuses in their exercise of the authority delegated to them by the governing board.

The selection of the president is the governing board's most important decision. Once having made that decision, the governing board must ensure that the president is vested with appropriate authority to carry out the duties and responsibilities for which he or she is to be held accountable. The governing board (and if the institution is part of a multicollege system, its central staff) must operate in a manner that does not erode the authority of the president but rather supports his or her authority and the integrity of the institution.

Responsibilities

As chief executive officer, the president is responsible for recommending broad policies and personnel to the board and for implementing those policies approved by the board. In addition, the president must create and maintain a vision and sense of common purpose for the institution and its constituencies that develops and sustains institutional direction and self-esteem. The governing board should recognise that it, through the president, holds final responsibility for the health, safety, and welfare of the institution and its personnel, including students. The president's primary responsibility is that of administering the institution in the achievement of its mission, including education, research, and service in accordance with the laws of the state, the policies of the governing board, and the resources of the institution. Specific responsibilities include but are not limited to the following:

1. The administration of board policies regulating institutional mission, goals and objectives, instructional programs, research, public service, financial affairs, student affairs, and physical facilities.

2. The direction of current and long-range planning relating to his or her institutional responsibilities.

3. The development and maintenance of an appropriate administrative organisation and governance structure to facilitate the most efficient and effective utilisation of institutional resources in the achievement of the institution's mission and goals.

4. The development and maintenance of a personnel system concerned with the recruitment, selection, assignment, supervision, evaluation, promotion and retention, or tenure of all personnel employed by the institution.

5. The planning and development of the means for securing and maintaining the resources necessary for the achievement of the institution's mission at the highest possible level of quality, including the presentation to appropriate funding agencies of the needs of the institution.

6. The preparation and presentation of the annual operating and capital budgets and the institutional allocation and supervision of all appropriated and other funds.

7. The development and maintenance of the facilities, materials, equipment, and services necessary for the support of institutional functions.

8. The communication of the policies and views of the board to the institutional community and other constituencies and, conversely, communication of the views of the university's constituencies on appropriate issues to the governing board.

9. The presentation of information to the governing board about the current and prospective condition of the institution, including its goals, accomplishments, and potential problems.

10. The representation of the university or college to relevant external constituencies.

11. The development and maintenance of academic programs to achieve the institution's missions and goals.

12. The termination of his or her association with the institution in a professional manner that does not unnecessarily discredit or damage public confidence in the governing board or the institution.

Rights of the President

Rights should not be confused with privileges. Rights encourage and support the president in the exercise of institutional leadership even though resulting in the opposition of one or more constituencies.

As chief executive officer of the institution, the president must have the authority and rights conducive to the effective exercise of his or her responsibility.

1. The president must have direct access to the governing board, or, in the case of a centralised system, to the appropriate authority charged with presenting institutional proposals, budgets, and problems to the governing board. The governing board or other appropriate centralised authority should not meet formally with any representatives of the institution's various constituencies without the president's presence or approval. The governing board should not meet without the president or his or her representative except in unusual cir-

cumstances, such as personal matters relating to the president's position.

2. The governing board or appropriate central authority should ask the president for his or her advice and recommendations on all matters before the board which may affect the institution. No changes affecting an institution in any regard should be made by the governing board (or a coordinating board, commission for higher education, central staff, or other state agencies) without appropriate advice and recommendations from the president of that institution. The governing board or other governing authority should clearly distinguish between official communications to or from the president and the comments of individual board members and officers.

3. The governing board should hold the president free of any personal liability in the execution of his or her duties and responsibilities so long as he or she is acting as the board's chief executive officer. This should include protection against physical and psychological harassment and against damage suits.

4. The governing board should evaluate the performance of the president in a manner that will enhance and strengthen his or her effectiveness as chief executive officer of the institution.

5. The governing board should ensure a reasonable degree of economic security for the president so that he or she is encouraged and supported in taking the risks inherent in leadership. It may do so by providing him or her with a contract for a specified term with tenure in an appropriate academic department or with a guaranteed period of notice or other appropriate means. The governing board should also provide appropriate transitional assistance.

6. In the event that a board decides to terminate the president, the termination should be handled in a professional manner that does not damage public confidence in the governing board or the institution or unnecessarily discredit the president or damage his or her reputation.

7. The president should be provided with sufficient administrative and staff support to discharge the responsibilities and expectations placed upon him or her by the governing board.

8. The president should have authority to recommend personal actions subject to contractual and legal limitations and to consultation with other constituencies appropriate to the position.

9. The governing board or the president may delegate responsibilities to other campus constituencies; however, the president must retain authority to initiate and approve actions necessary to the achievement of his or her responsibilities.